

**This Page is Inserted by IFW Indexing and Scanning  
Operations and is not part of the Official Record**

**BEST AVAILABLE IMAGES**

Defective images within this document are accurate representations of the original documents submitted by the applicant.

Defects in the images include but are not limited to the items checked:

- ☐ **BLACK BORDERS**
- ☐ **IMAGE CUT OFF AT TOP, BOTTOM OR SIDES**
- ☐ **FADED TEXT OR DRAWING**
- ☐ **BLURRED OR ILLEGIBLE TEXT OR DRAWING**
- ☐ **SKEWED/SLANTED IMAGES**
- ☐ **COLOR OR BLACK AND WHITE PHOTOGRAPHS**
- ☐ **GRAY SCALE DOCUMENTS**
- ☐ **LINES OR MARKS ON ORIGINAL DOCUMENT**
- ☐ **REFERENCE(S) OR EXHIBIT(S) SUBMITTED ARE POOR QUALITY**
- ☐ **OTHER:** \_\_\_\_\_

**IMAGES ARE BEST AVAILABLE COPY.**

**As rescanning these documents will not correct the image problems checked, please do not report these problems to the IFW Image Problem Mailbox.**

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

13807(YOR9200007US1)

Application Number

07663664 #4  
Unassigned

Applicant(s)

David M. Chess, et al.

Filing Date

Herewith

Group Art Unit

Unassigned 2136

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
CC		4,817,140	03/28/89	Chandra, et al.			

1-c917 U.S. PTO  
09/663664  
09/15/00

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

CC		"IBM 4758 Models 1 and 13 PCI Cryptographic Coprocessor", IBM Product Brochure G221-9091, (1999)
CC		"IBM Coprocessor First to Earn Highest Security Validation", Press release, IBM Corporation, December 1998

EXAMINER

Paul B. B...

DATE CONSIDERED

8/25/2004

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

# INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Docket Number (Optional)

13807(YOR9200 57US1)

Application Number

09663664 #4  
Unassigned

Applicant(s)

David M. Chess, et al.

Filing Date

Herewith

Group Art Unit

Unassigned 2136

\*EXAMINER  
INITIAL

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Palmer, E., "An Introduction to Citade-A Secure Crypto Coprocessor for Workstations", Research Report, RC 18373, IBM T.J. Watson Research Center, 1992

Weingart, S.H., "Physical Security for the ABYSS System", IEEE Security and Privacy, Oakland, 1987

White, S.R., et al., "ABYSS: A Trusted Architecture for Software Protection", IEEE Security and Privacy, Oakland, 1987

White, S.R., et al., "Introduction to the Citadel Architecture: Security in Physically Exposed Environments", Research Report RC 16672, IBM T.J. Watson Research Center, 1991

Smith, S., et al., "Building a high-performance, programmable secure coprocessor", Reprinted from Computer Networks, The International Journal of Computer and Telecommunications Networking, Secure Systems and Smart Cards, IBM T.J. Watson Research Center, Computer Networks 31, (1999) pp. 831-860

Smith, S., et al., "Practical Private Information Retrieval with Secure Coprocessors", IBM T.J. Watson Research Center, May 23, 2000, pp. 1-11

Wilhelm, U., et al., "Introducing Trusted Third Parties to the Mobile Agent Paradigm", Laboratoire de Systemes d'Exploitation, Institut pour les Communications informatiques et leurs Applications Ecole Polytechnique Federale de Lausanne, 1015 Lausanne, Switzerland

EXAMINER

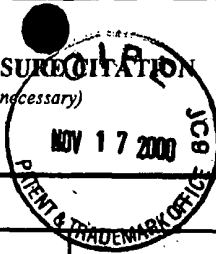
DATE CONSIDERED

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

#5

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)



Docket Number (Optional)

13807(YOR920) 57US1

Application Number

09/663,664

Applicant(s)

David M. Chess, et al.

Filing Date

September 15, 2000

Group Art Unit

2136  
Unknown

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILED DATE IF APPROPRIATE
cc		5,956,699	09/21/99	Wong, et al.			
cc		5,943,424	08/24/99	Berger, et al.			
cc		5,933,498	08/03/99	Schneck, et al.			
cc		5,917,912	06/29/99	Ginter, et al.			
cc		5,93,882	05/11/99	Asay, et al.			
cc		5,850,442	12/15/98	Muftic			
cc		5,835,595	11/10/98	Fraser, et al.			
cc		5,768,389	06/16/98	Ishii			
cc		5,768,382	06/16/98	Schneider, et al.			
cc		5,742,756	04/21/98	Dillaway, et al.			
cc		5,696,827	12/09/97	Brands			

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

cc		Wilhelm, U., et al., "Introducing Trusted Third Parties to the Mobile Agent Paradigm", Institut pour les Communications informatiques et leurs Applications Ecole Polytechnique Federale de Lausanne, 1015 Lausanne, Switzerland
cc		Gobioff, H., et al., "Smart Cards in Hostile Environments", Proceedings of the Second USENIX Workshop on Electronic Commerce, Oakland, California, (November 1996)

EXAMINER

Carl B. B.

DATE CONSIDERED

8/25/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

# INFORMATION DISCLOSURE CITE SHEET

(Use several sheets if necessary)



Docket Number (Optional)

13807(YOR920) 57US1

Application Number

09/663,664

Applicant(s)

David M. Chess, et al.

Filing Date

September 15, 2000

Group Art Unit

Unknown 2136

## PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
cc		5,677,955	10/14/97	Doggett, et al.			
cc		5,629,980	05/13/97	Stefik, et al.			
cc		5,590,197	12/31/96	Chen, et al.			
cc		5,557,518	09/17/96	Rosen			
cc		5,148,534	09/15/92	Comerford			
cc		5,146,575	09/08/92	Nolan, Jr.			
cc		5,109,413	04/28/92	Comerford, et al.			
cc		4,916,738	04/10/90	Chandra, et al.			
cc		4,817,140	03/28/89	Chandra, et al.			

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

cc		Havener, W., et al., "Derived Test Requirements for FIPS PUB 140-1, Security Requirements for Cryptographic Modules", <a href="http://csrc.nist.gov/cryptval/140-1/140test1.htr">http://csrc.nist.gov/cryptval/140-1/140test1.htr</a> , (March 1995)
cc		Smith, S., "Secure Coprocessing Applications and Research Issues", Los Alamos National Laboratory, Los Alamos Unclassified Release LA-UR-96-2805, (August 1, 1996)

EXAMINER

Paul Loh

DATE CONSIDERED

8/25/04

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

#5

<b>INFORMATION DISCLOSURE CITATION</b> (Use several sheets if necessary)		Docket Number (Optional) 13807(YOR920 57US1)	Application Number 09/663,664
		Applicant(s) David M. Chess, et al.	
		Filing Date September 15, 2000	Group Art Unit Unknown 2136
*EXAMINER INITIAL	OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
ce	Smith, S., "Validating a High-Performance Programmable Secure Coprocessor", IBM T.J. Watson Research Center, Yorktown Heights, New York 10598-0704		
ce	Yee, B., "Using Secure Coprocessors", School of Computer Science Carnegie Mellon University, Pittsburgh, PA 15213, (1994)		
ce	"Security Requirements For Cryptographic Modules", <a href="http://www.itl.nist.gov/fipspubs/fip140-1.htm">http://www.itl.nist.gov/fipspubs/fip140-1.htm</a> , Federal Information Processing Standards Publication 140-1, (January 1994)		
ce	Dyer, J., et al., "Application Support Architecture for a High-Performance, Programmable Secure Coprocessor", IBM T.J. Watson Research Center, Yorktown Heights, New York 10598-0704		
ce	Smith, S., et al., "Trusting Trusted Hardware: Towards a Formal Model for Programmable Secure Coprocessors", Proceedings of the 3rd USENIX Workshop on Electronic Commerce, Boston, Mass., (August 31-September 3, 1998)		
cc	Smith, S., et al., "Using a High-Performance, Programmable Secure Coprocessor", IBM T.J. Watson Research Center, Yorktown Heights, New York 10598, pp. 73-89		
ce	Smith, S., et al., "Practical Private Information Retrieval with Secure Coprocessors", IBM Research Report, RC 21806 (Log#98098), (July 27, 2000)		
EXAMINER <i>h.l. Goh</i>		DATE CONSIDERED 8/25/04	

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.